

STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: BARNETT et al.Application No./Patent No.: 10/571,882 Filed/Issue Date: DECEMBER 12, 2006Entitled: COMBINATION APPROACHES FOR GENERATING IMMUNE RESPONSESTHE GOVERNMENT OF THE UNITED STATES OF AMERICA, AS REPRESENTED BY THE SECRETARY OF HEALTH AND HUMAN SERVICES, NATIONAL INSTITUTES OF HEALTH, OFFICE OF TECHNOLOGY TRANSFER
a GOVERNMENT AGENCY

(Name of Assignee)

(Type of Assignee, e.g. corporation, partnership, university, government agency, etc.)

states that it is:

1. ☐ the assignee of the entire right, title, and interest; or
2. ☒ an assignee of less than the entire right, title and interest
(The extent (by percentage) of its ownership interest is 50%)
in the patent application/patent identified above by virtue of either:

- A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

- B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: Victor Paul Gomez-Roman, Bo Peng, and Marjorie Robert-Guroff _____
To: The Government of the United States of America as represented by the Secretary of the Department of Health and Human Services, National Institutes of Health, Office of Technology Transfer _____

The document was recorded in the United States Patent and Trademark Office at
Reel 018076 _____, Frame 0200 _____, or for which a copy thereof is attached.

2. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

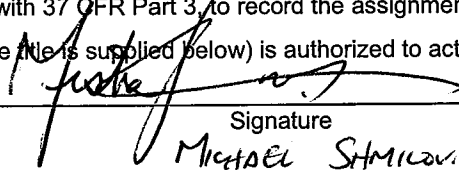
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☐ Additional documents in the chain of title are listed on a supplemental sheet.

As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy) of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See M.P.E.P. § 302.08]

The undersigned (whose name is supplied below) is authorized to act on behalf of the assignee.



Signature

Michael Shmilovitch

Printed or Typed Name

Sr. Tech. Lic. Specialist

Title

13 Nov 2008

Date

301 435 5019

Telephone Number

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STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: BARNETT et al.

Application No./Patent No.: 10/571,882

Filed/Issue Date: DECEMBER 12, 2006

Entitled: **COMBINATION APPROACHES FOR GENERATING IMMUNE RESPONSES**

NOVARTIS VACCINES AND DIAGNOSTICS, INC.

a CORPORATION

(Name of Assignee) (Type of Assignee, e.g. corporation, partnership, university, government agency, etc.)

states that it is:

1. ☐ the assignee of the entire right, title, and interest; or
2. ☒ an assignee of less than the entire right, title and interest
(The extent (by percentage) of its ownership interest is 50%)

in the patent application/patent identified above by virtue of either:

- A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

- B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: Susan Barnett, Ying Lian, and I.K. Srivastava

To: Chiron Corporation

The document was recorded in the United States Patent and Trademark Office at Reel 016907, Frame 0929, or for which a copy thereof is attached.

2. From: Chiron Corporation

To: Novartis Vaccines and Diagnostics, Inc.

The document was recorded in the United States Patent and Trademark Office at Reel 021315, Frame 0331, or for which a copy thereof is attached.

3. From: _____

To: _____

The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See M.P.E.P. § 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

HELEN LEE Signature

12 NOV 2008 Date

HELEN LEE Printed or Typed Name

510 923 2192 Telephone Number

ASSISTANT SECRETARY, NOVARTIS VACCINES AND
Title DIAGNOSTICS, INC.